



PATENT
Attorney Docket No.: RFS-001CP
(9521/4)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Lieblich *et al.*
SERIAL NO.: 10/626,394 GROUP NO.: Not yet assigned
FILING DATE: July 24, 2003 EXAMINER: Not yet assigned
TITLE: Distributed Computer Monitoring System and Methods for Autonomous
Computer Management

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 29th day of September, 2003.

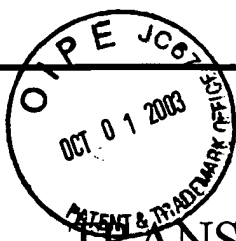
Nicole Deane

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are:

- 1.) Information Disclosure Statement (2 pgs.);
- 2.) Form PTO-1449 (1 pg.);
- 3.) Copies of documents cited as A1-A7 and C1-C2;
- 4.) Transmittal Form (1 pg.); and
- 5.) Return Receipt Postcard.



TRANSMITTAL FORM

| | |
|---------------------------|------------------|
| Application Serial Number | 10/626,394 |
| Filing Date | July 24, 2003 |
| First Named Inventor | Lieblich |
| Group Art Unit | Not yet assigned |
| Examiner Name | Not yet assigned |
| Attorney Docket No. | RFS-001CP |
| Patent No. | Not applicable |
| Issue Date | Not applicable |

ENCLOSURES (check all that apply)

| | | |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences |
| <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____] | <input type="checkbox"/> Formal Drawing(s) | <input type="checkbox"/> Appeal Brief (in triplicate) |
| <input type="checkbox"/> Petition for Extension of Time | <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal | <input type="checkbox"/> Status Inquiry |
| <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (A1-A7 & C1-C2) | <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) | <input checked="" type="checkbox"/> Return Receipt Postcard |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> Terminal Disclaimer | <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 |
| <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application | <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 |
| | <input type="checkbox"/> Small Entity Statement | <input type="checkbox"/> Additional Enclosure(s) (please identify below) |
| | <input type="checkbox"/> CD(s) for large table or computer program | |
| | <input type="checkbox"/> Amendment After Allowance | |
| | <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate) | |

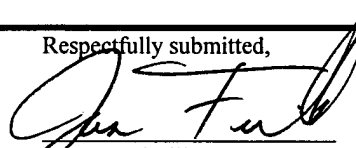
CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator
Testa, Hurwitz & Thibault, LLP
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SIGNATURE BLOCK

Date: September 29, 2003
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Respectfully submitted,


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Attorney Docket No.: RFS-001CP
(9521/4)

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

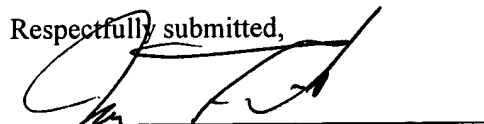
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

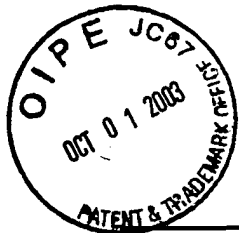
Respectfully submitted,



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125 High Street
Boston, Massachusetts 02110

Date: September 29, 2003
Reg. No.: 52,892

Tel. No.: (617) 310-8471
Fax No.: (617) 248-7100



FORM PTO - 1449

INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: RFS-001CP

APPLICANTS: Lieblich *et al.*

SERIAL NO.: 10/626,394

FILING DATE: July 24, 2003

GROUP: Not yet assigned

U.S. PATENT DOCUMENTS

| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|-------------|----|-----------------|----------|----------------|-------|-----------|----------------------------|
| | A1 | 5,655,081 | 08/05/97 | Bonnell et al. | 395 | 200 | 03/08/95 |
| | A2 | 5,924,096 | 07/13/99 | Draper et al. | 707 | 10 | 10/15/97 |
| | A3 | 6,012,152 | 01/04/00 | Douik et al. | 714 | 26 | 08/21/97 |
| | A4 | 6,513,065 | 01/28/03 | Hafez et al. | 709 | 224 | 03/04/99 |
| | A5 | 6,523,035 | 02/18/03 | Fleming et al. | 707 | 10 | 05/20/99 |
| | A6 | 6,560,647 | 05/06/03 | Hafez et al. | 709 | 224 | 03/04/99 |
| | A7 | 6,564,174 | 05/13/03 | Ding et al. | 702 | 186 | 09/29/99 |

FOREIGN PATENT DOCUMENTS

| EXAM. INIT. | | DOCUMENT NUMBER | DATE | COUNTRY CODE | CLASS | SUB CLASS | FILING DATE | ABSTRACT ONLY | ENGLISH LANG (Y/N) |
|-------------|--|-----------------|------|--------------|-------|-----------|-------------|---------------|--------------------|
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| | | | | | | | | | |

OTHER ART, JOURNAL ARTICLES, ETC.

| EXAM. INIT. | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | |
|-------------|--|--|--|--|--|--|--|--|--|
| | C1 | PowerPoint Presentation by Infinetcorp Software and Services "The Company <i>ifcheck</i> Software Consulting Services" http://www.infinetcorp.com/product/download/pkgdir/ifcheckpp.ppt (39 pgs.) | | | | | | | |
| | C2 | Tripwire Manager for Enterprise – Wide Security & Network Management "The "Dashboard,"" http://www.tripwire.com/products/manager/functional.cfm? (5 pgs.) 2003 | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |

2686991

EXAMINER

DATE CONSIDERED